

4TH CYCLE SELF ASSESSMENT PROCEDURES FOR DISTRICTS WHO HAVE MSIP IN THE 10-11 SCHOOL YEAR

CYCLICAL FILE REVIEW PROCESS

The cyclical self assessment process occurs during the year prior to a district's scheduled MSIP review. This is also true for districts with MSIP waivers. The self assessment consists of four main activities:

- The district will conduct Improvement Planning and submit an Improvement Plan to DESE, if required, based on district data.
- The district will conduct a File Review. Some review items will be triggered by district data and other items will be completed by all districts.
- The district will submit related file review documents to DESE.
- The district will submit a Data report that includes initial evaluation timelines and Part C to B timelines.

Improvement Plans:

RPDC Consultants and DESE staff will review Improvement Plans. DESE staff will provide feedback on the Improvement Plan, and if it is not written at an "acceptable" level based on a review using the scoring guide which has been developed, the district will have one opportunity to make changes and re-submit the plan to DESE. Results of the file review and Improvement Plan review will be included in the MSIP Report (Differentiated Instruction 7.1.)

Timelines for Self Assessment:

- Improvement plans are due by **March 1, 2010**.
- File reviews must be completed and results submitted to DESE by **March 1, 2010**.
- DESE Special Education Compliance Section will request documentation from the files of specific students for the desk review after **March 1, 2010**. The requested documentation can be uploaded using IMACS, mailed or faxed to DESE.
- Data on timelines will cover the period from **July 1, 2009 to April 30, 2010**, and will be due by **May 17, 2010**.

Self-assessment and the IMACS system:

The IMACS (Improvement Monitoring, Accountability and Compliance System) will provide information to each responsible public agency regarding what SPP indicators require completion of an improvement plan and file review. The IMACS will only provide the applications (Improvement Plan, File Review, and Timelines) required for the cyclical monitoring process if it is the year prior to the district's MSIP review. Charter Schools or other agencies not involved in MSIP may be scheduled for a monitoring review also.

IMACS will be the system into which the district will enter the File Review and required Data on Timelines. The district may use IMACS to provide documentation for the verification reviews conducted by DESE. If a Corrective Action Plan is necessary, it will be completed and submitted through IMACS.

The system will summarize results of individual file reviews and provide an avenue for communication between the local education agency and DESE.

Logging on to IMACS

Districts must request a Login ID for the IMACS system for everyone at the district who needs access. This must be done through DESE's IT department using the "DESE Web Systems User ID Request Form" which can be found on the DESE web site at:

<http://k12apps.dese.mo.gov/webapps/securityforms.asp>.

Districts will be asked to designate someone as the "Administrator" of the IMACS system. **The administrator designates district level duties for all other users in their district.** This is a 2-part process: first, the administrator will designate the names of people in the district allowed to access the IMACS system; second, when those people have been granted access, the administrator will need to enter IMACS again to designate the type of access each individual may have. Those choices are: edit, submit, and view. **Please be aware that if "view" is chosen, that person may ONLY view activity in IMACS.**

(NOTE: Do not attempt to log onto IMACS until you have received notification from DESE that IMACS is ready for you to use.)

When using the system for the first time, the "Administrator" will go to DESE's homepage at: <http://dese.mo.gov> Click on "Web Application Login" and follow the login prompts. When the web menu page opens, IMACS will be an option under the Special Education heading.

When IMACS is selected, the user will be redirected to the IMACS program. The administrator will use the "Agency Maintenance" screen at the bottom of the IMACS home page to designate duties for other users in the district. From that point, all authorized users will have access to the system based upon the level of security the "Administrator" has deemed appropriate.

Conducting the file review:

General information:

- When making determinations, it will be important to read the entire indicator and refer to your Standards and Indicators Manual, in order to be sure the compliance call is made correctly. Do not rely only on the brief checklist summary language.
- **Select files from the current and prior school year, either the '08-'09 or '09-'10 school years.**
- Remember, all indicators will be rated for compliance based upon the percent of files that meet the requirement. In order to be considered "in compliance" the indicator must have 80% of the files reviewed "in compliance."
- Transition indicators apply only to files for students age 16+ unless you have checked the box for transition on the demographics screen for that child.
- Do not review files of students that were found ineligible.
- Files should be selected randomly and should represent a cross section of the agency's buildings as well as children with a variety of disabilities and placements. It is preferable to select a variety of ages and grades, including ECSE.
- Some SPP indicators will trigger a checklist for discipline documentation for students. If you have files that include discipline documentation, please include at least one of those students in your file review selection.

Numbers of files to select:

It is difficult to clearly define the number of files the district will need to review, since each district's review will be individualized based on the performance data. However, all districts will complete some file review, so the following charts represent general guidelines on numbers of files districts should review.

Based on the December 1, 2008 child count for the agency, the following number of files should be used as a guideline for conducting file reviews:

11-100	minimum of 10 files reviewed
100-200	minimum of 15-25 files reviewed
200-1000	minimum of 25-40 files reviewed
1000	minimum of 40-60 files reviewed

The district will need to select a portion of files of children who were initially evaluated and of children who have had a re-evaluation in the present or preceding school year. The district will use each child's file for reviewing as many items as possible. (e.g. If reviewing a child's file for SPP Indicator 13 – post-secondary transition, you can also review that file for IEP content, for re-evaluation process, and for LRE placement.)

Example of a File Selection

Example R-I School District

December 1, 2008 Child Count = 200

Total File Sample Size = 25 files

Files selected:

Initial Evaluations done in the previous two semesters

(includes three (3) ECSE files).....8 files

District will review the Referral Process, Review of Existing Data and the Initial Evaluation for all of these files. District will also use these files to review the IEP and Placement.

Reevaluations done in the previous two semesters

With additional assessments and without assessments.....17 files

Select files for children in elementary school, middle school and high school children ages 16 or older.

For Reevaluation.....17 files will be reviewed

For the IEP.....25 files will be reviewed (8 initials, 17 reevaluations)

Transition (ages 16+).....10 files will be reviewed

For Placement25 files will be reviewed (8 initials, 17 reevaluations)

It is advisable to select a good cross-section of files with regard to diagnosis and placement.

NOTE:

Placement and IEP indicators are required based on which SPP indicators are “met” or “not met” for your district. For example, if the district did not meet the target for SPP Indicator 5, the file review will include the indicators for placement.

If the district is required to conduct a file review based on graduation, drop-out, MAP or LRE SPP indicators, the district will be required to review the files of some students who have been long-term suspended during this or the preceding school year. IMACS will include these indicators in the file review checklist. Please review files for three to five students (or all available if fewer than five students were long-term suspended.) The district may include these as additional files and only review the discipline

indicators or you can do a complete review of these files and count them as part of the sample described in the guidelines previously stated.

Sending self assessment and supporting documentation to DESE:

Supporting documentation may be uploaded through IMACS, mailed or faxed to DESE. File review results, timelines data, and Improvement Plans will be recorded in IMACS. IEPs and all other supporting documents used to make decisions about compliance on any indicators will be submitted to DESE after DESE has notified the district of which sample files they need to send.

At the end of the file review, a screen will appear on IMACS asking the district to upload files for that student. Bypass this screen until documentation for the desk review is requested from DESE. For districts who want to submit documentation by uploading through IMACS, after documentation has been requested for specific students, then you can go back to that screen and upload the documentation.

The completed file review and the required Improvement Plan must be submitted to DESE by March 1, 2010. Data on timelines will be submitted by May 17, 2010 in order to include data through the end of April 2010.

DESE's review of self assessment documentation and determination of compliance:

There are two types of compliance determinations that are made based on the file review results:

- Systemic
- Individual Child

Systemic compliance is based on an 80% rate. In other words, there is an error rate of 20% allowed.

If 10 files are reviewed for a particular indicator (e.g. measurable goals) and eight are in compliance on that indicator and two are not, your district will be considered in systemic compliance on that, and no Corrective Action Plan (CAP) will be required. CAPS will only address findings of non-compliance (based on the 80% rate). Correction of non-compliance must be demonstrated within 12 months of the date the district is notified in writing of the findings. DESE will indicate what evidence is needed for correction of noncompliance so the district may begin submitting that information after their corrective action plan has been approved.

To reiterate, the step by step process is as follows:

1. The district submits its self assessment documentation to DESE.
2. Compliance Supervisors complete a desk review to verify the results of the district's file review,

using submitted IEPs, evaluation reports, reviews of existing data, meeting notifications, referrals, prior written notice and other supporting documents from the files the district reviewed.

3. If DESE finds non-compliance that was not identified by the district for that particular child and that indicator, DESE will change the call for that child on that indicator, which may shift the district's overall percentage for that indicator from "in compliance" to "out of compliance" (below 80%.)
4. If an indicator falls below the 80% mark, the district will need to complete a Corrective Action Plan in addition to correcting individual child non-compliance, as appropriate. The Corrective Action Plan, or CAP, will be completed and submitted through IMACS.
5. Non-compliance must be corrected within 12 months.

Individual child non-compliance must be corrected (as appropriate) within three months. So, even if only one child's file out of 10 reviewed was found out of compliance on an indicator, the district will need to correct that non-compliance, if appropriate to do so. Not all indicators that are called "NO" for a particular child can be corrected but the Report of Individual Student Noncompliance will indicate which indicators should be corrected. When conducting follow up for systemic compliance within the year following the final report, DESE will request documentation on just a sampling of these cases where individual child noncompliance was identified and will verify that non-compliance was corrected.

CAP Process:

If a Corrective Action Plan (CAP) is required, the district will submit the CAP to DESE via IMACS. Within 30 days of the date on the letter from DESE notifying the district of identified noncompliance and a required CAP, the CAP must be submitted to DESE. Compliance Supervisors will review the CAP and approve it or send it back to the district, with comments, for revision. Districts may begin submitting documentation verifying the correction of non-compliance any time after their CAP has been approved. All identified noncompliance must be corrected within 12 months of the date on the letter from DESE notifying the district of identified non-compliance.

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